Accorney \$ 0575/59167 Applicant or Patentee: David J. Pinsky Docket No: Not Yet Known Serial or Patent No.: August 13, 1999 Filed or Issued: Title of Invention or Patent: CD39/ECTOADPASE AS A TREATMENT FOR THROMBOTIC AND ISCHEMIC DISORDERS VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS UNDER 37 C.F.R. §1.9(f) AND §1.27(d) - NONPROFIT ORGANIZATION I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below: Name of Organization: The Trustees of Columbia University In The City of New York Address of Organization: 110 Low Memorial Library, West 116th Street & Broadway, New York, NY 10027 TYPE OF ORGANIZATION: UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §\$501(a) and NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA NAME OF STATE: WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3) IF LOCATED IN THE UNITED STATES OF AMERICA WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA NAME OF STATE:

CITATION OF STATUTE:

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e)* for purposes of paying reduced fees under 35 U.S.C. §41(a) and 41(b), with regard to the invention entitled CD39/ECTOADPASE AS A TREATMENT FOR THROMBOTIC AND ISCHEMIC DISORDERS

by inventor(s) David J. Pinsky

described in:

the specification filed herewith X application serial no 09/374.586 filed August 13, 1999 patent no. _____issued __

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive each individual, concern, or organization known to have rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d)* or a nonprofit organization under 37 C.F.R. 1.9(e)*

a NOTE: Separate verified statements are required from each person, concern, or organization having rights to the invention averring to their status as small entities. 37 C.F.R. §1.27.

Name:	NONE .		
Address:			
	Individual	Small Business Concern	Nonprofit Organization

- (d) A small business concern as used in this chapter means any business concern as defined by the Small Business Administration in 13 C.F.R. §121.3-18, published on September 30, 1982 at 47 FR 43273. For the convenience of the users of these regulations, that definition states:
- §121.3-18 Definition of small business for paying reduced patent fees under Title 35, U.S. Code.
- (a) Pursuant to Pub. L. 97-247, a small business concern for purposes of paying reduced fees under 35 U.S. Code 41(a) and (b) to the Patent and Trademark Office means any business concern (1) whose number of employees, including those of its affiliates, does not exceed 500 persons and (2) which has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section. For the purpose of this section concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both. The number of employees of the business concern is the average over the fiscal year of the the persons employed during each of the pay periods of the fiscal year. Employees are those persons employed on a full-time, part-time or temporary basis during the previous fiscal year of the concern.
 - (b) If the Patent and Trademark Office determines that a concern is not eligible as a small business concern within this section, the concern shall have a right to appeal that determination to the Small Business Administration. The Patent and Trademark Office shall transmit its written decision and the pertinent size determination file to the SBA in the event of such adverse determination and size appeal. Such appeals by concerns should be submitted to the SBA at 1441 L Street, NW., Washington, D.C. 20416 (Attention: SBA Office of General Counsel). The appeal should state the basis upon which it is claimed that the Patent and Trademark Office initial size determination on the concern was in error; and the facts and arguments supporting the concern's claimed status as a small business concern under this section.
 - (e) A nonprofit organization as used in this chapter means (1) a university or other institution of higher education located in any country; (2) an organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c)(3)) and exempt from taxation under section 501(a) of the Internal Revenue Code (26 U.S.C. 501(a)); (3) any nonprofit scientific or educational organization qualified under a nonprofit organization statute of a state of this country (35 U.S.C. 201(i); or (4) any nonprofit organization located in a foreign country which would qualify as a nonprofit organization under paragraphs (e)(2) or (3) of this section if it were located in this country.

Serial No.: Not Yet Known Filed: August 13, 1999 Small Entity/Nonprofit Page -2-

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. §1.28(b)*.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Jack M. Gran	owitz
Name of Person Signing: Jack M. Gran Title In Organization: Executive Di	rector, Columbia University Enterprise,
Address: Columbia University, Engine	ering Terrace- Suite 363. Amsterdam and
120th Street New York NY	10027
Signature:	
Date Of Signature: 919	

JC13 Rec'd PCT/PTO 0 6 FEB 2002

37 C.F.R. §1.28(b)

(b) Once status as a small entity has been established in an application or patent, fees as a small entity may thereafter be paid in that application or patent without regard to a change in status until the issue fee is due or any maintenance fee is due. Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application or patent prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance ree due after the date on which status as a small entity is no longer appropriate pursuant to \$1.9 of this part. The notification of change in status may be signed by the applicant, any person authorized to sign on behalf of the assignee, or an attorney or agent of record or acting in a representative capacity pursuant to §1.34(a) of this part.

BEST AVAILABLE COPY

DECLARATION AND POWER OF ATTORNEY

As a below-named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

	orders	eatment of Thrombotic	and ischen	iic ·
the specification of (check one)	which:			
	X is anach	ned hereio.	•	•
•	was filed	on February 6, 2002		as
	Application Serie	al No		
• .	and was amended	February 6, 2002		
			(if appl	icable)
365(h) of any foreign	n application(s) for p	r Title 35. United States Cod patent or inventor's certificat	e, or Section 30	65(a) of any P(
365(b) of any foreign International Applications I have also id	n application(s) for p ation which designate lentified below any fo	r Title 35. United States Cod patent or inventor's certificated ed at least one country othe reign application for patent ate before that of the earliest	e, or Section 30 er than the Uni or inventor's co	65(a) of any PC ited States, list extificate, or PC
365(b) of any foreign International Applications in the second international A	n application(s) for partion which designate lentified below any for ion having a filing da	paieni or invenior's certifical ed al least one country othe reign application for patent	te, or Section 36 er than the Uni or inventor's co application fro	65(a) of any PC ited States, list extificate, or PC
365(b) of any foreign International Application below. I have also id International Applications is claimed:	n application(s) for partion which designate lentified below any for ion having a filing da	paieni or invenior's certifical ed al least one country othe reign application for patent	te, or Section 36 er than the Uni or inventor's co application fro	65(a) of any PC ited States, list ertificate, or PC om which priori
365(b) of any foreigner international Application of the laternational Application of the laternational Application of the laternational Application of the laternation of the laternati	n application(s) for pation which designate lentified below any fo ion having a filing do ation(s)	paient or inventor's certificated at least one country other reign application for patent at the before that of the earliest	te, or Section 36 or than the Uni or inventor's co application fro Priority	65(a) of any PC ited States, list ertificate, or PC om which prior Claimed
365(b) of any foreign international Application in International Application is claimed: Prior Foreign Application in International Application in Internation in Internation in Internation Internation Internation in	n application(s) for pation which designated lentified below any for ion having a filing datastion(s) Country	paient or inventor's certificated at least one country other reign application for patent at the before that of the earliest Filing Date	te, or Section 36 or than the Unit or inventor's con application from Priority Yes	65(a) of any PC ited States, list ertificate, or PC om which prior Claimed
365(b) of any foreign International Applications of the low. I have also id International Application is claimed: Prior Foreign Application	n application(s) for pation which designated lentified below any for ion having a filing datastion(s) Country	paient or inventor's certificated at least one country other reign application for patent at the before that of the earliest Filing Date	te, or Section 36 or than the Unit or inventor's con application from Priority Yes	65(a) of any PC ited States, list ertificate, or PC om which prior Claimed
365(b) of any foreign International Application of the International Internatio	n application(s) for pation which designated lentified below any for ion having a filing datastion(s) Country	paient or inventor's certificated at least one country other reign application for patent at the before that of the earliest Filing Date	te, or Section 36 or than the Unit or inventor's con application from Priority Yes	65(a) of any PC ited States, list ertificate, or PC om which prior Claimed
365(b) of any foreign International Application of the International Internatio	n application(s) for pation which designated lentified below any for ion having a filing datastion(s) Country	paient or inventor's certificated at least one country other reign application for patent at the before that of the earliest Filing Date	te, or Section 36 or than the Unit or inventor's con application from Priority Yes	65(a) of any PC ited States, list ertificate, or PC om which prior Claimed

Declaration	and	Power	of	Allomey
-------------	-----	-------	----	---------

And I hereby appoint

I hereby claim the benefit under Title 35. United States Code. Section 119(e) of any United States provisional application(s) listed below:

Provisional Application No.	Filing Date	Status
N/A		

I hereby claim the benefit under Title 35. United States Code, Section 120 of any United States Application(s), or Section 365(c) of any PCT International Application(s) designating the United States listed below. Insofar as this application discloses and claims subject matter in addition to that disclosed in any such prior Application in the manner provided by the first paragraph of Title 35. United States Code. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56, which became available between the filing date(s) of such prior Application(s) and the national or PCT international filing date of this application:

Application Serial No.	Filing Date	Stones			
09/374,586	13 August 1999	pending			
PCT/US00/22060	11 August 2000	pending			
	_				
	_				

John P. White (Reg. No. 28,678); Christopher C. Dunham (Reg. No. 22,031); Norman H. Zivin (Reg. No. 25,385); Jay H. Maioli (Reg. No. 27,213); William E. Pelton (Reg. No. 25,702); Robert D. Katz (Reg. No. 30,141); Peter J. Phillips (Reg. No. 29,691) Wendy E. Miller (Reg. No. 35,615); Richard S. Milner (Reg. No. 33,970); Robert T. Maldonado (Reg. No.38,232); Paul Teng (Reg. No. 40,837); Richard F. Jaworski (Reg. No. 33,515); Pedro C. Fernandez (Reg. No. 41,741); Gary J. Gershik (Reg. No. 39,992); Spencer H. Schneider (Reg. No. 45,923); Alan J. Morrison (Reg. No. 37,399); Alan D. Miller (Reg. No. 42,889); and Frank Bruno (Reg. No. 46,583)

and each of them. all c/o Cooper & Dunham LLP. 1185 Avenue of the Americas, New York, New York 10036, my attorneys, each with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, to transact all business in the Patent and Trademark Office connected therewith and to file any International Applications which are based thereon under the provisions of the Patent Cooperation Treaty.

Declara	ntion and	l Po	ower of Assorne)	y						Page 3
Please (address d	all d	communications	s, and direct	all selephone	calls.	regarding	this app	plication	10:
	John	P.	White		Reg	. No	28,678			· ·
	1:185 Av New Yor Tel. (21:	eni k. i 2) i	Dunham LLP ue of the Americ New York 10036 278-0400	5						
made or the know	informative the	nor al w	at all statements and belief are b villful false state ion 1001 of Titl validity of the d	believed 10 De ements and t le 12 of the l	e irue: ana jui he like so mad Inited States (riner ii de are j Code a	nui inese punishab nd ihai si	le bu fin	e or imp	risonment
Full nat	me of solo nt invento	e 01 0r_	David J.	. Pinsky						
Invento	r's signal	ure	?			<u> </u>	·			·
			l States of							
Residen	ce_23 K	enr	nedy Road,	Cresskill	, NJ 07626	6				
Post Of	Tice Addr	ess	same as r	esidence	address		<u> </u>			
•										
				•						
Füll nat inventot	me of join r (if any)_						<u> </u>			
Invento	r's signat	ure								
					I)ale of sig	gnatur	?			· · · · · ·
Residen	ce									
Post Of	fice Addr	ess _.		<u> </u>						
			•						·	
Full nat	me of join r (if any)_	1					·			
Invento	r's signat	ure								
Citizens	hip		<u>.</u>		Date of sig	gnatur	e			
Residen	ce									

Post Office Address

Attorney's JPW/JML/YFL 0575/59167

Applicant or Patentee: David J. Pinsky Attorney's 0575/59
Serial or Patent No.: Not Yet Known
Filed or Issued: August 13, 1999
Title of Invention or Patent: CD39/ECTOADPASE AS A TREATMENT FOR THROMBOTIC AND ISCHEMIC DISORDERS

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS UNDER 37 C.F.R. §1.9(f)

SMALL ENTITY STATUS UNDER 57 OCCUPANTION AND §1.27(d) - NONPROFIT ORGANIZATION
I hereby declare that I am an official empowered to act on behalf of the nonprofit preparation identified below:
organization identifies of New York
Game of Organization: The Trustees of Columbia University In The City of New York
Address of Organization: 110 Low Memorial Library, West 116th Street & Broadway,
New York, NY 10027
TYPE OF ORGANIZATION:
WINIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION TAY EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and
SOI(c)(3) NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED
STATES OF AMERICA
NAME OF STATE: CITATION OF STATUTE: WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C.
\$6501(a) and 501(c)(3) IF LOCATED IN THE PROPERTY UNDER STATUTE OF STATE
OF THE UNITED STATES OF AMERICA AT BOSTON
CITATION OF STATUTE:
I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e)* for purposes of paying reduced fees under 35 U.S.C. §41(a) and 41(b), with regard to the invention entitled CD39/ECTOADPASE AS A TREATMENT FOR THROMBOTIC AND ISCHEMIC DISORDERS
by inventor(s) David J. Pinsky
described in:
patent noissued
If the rights held by the nonprofit organization are not exclusive each individual concern, or organization known to have rights to the invention is listed below an orights to the invention are held by any person, other than the inventor, who could no rights to the invention are held by any person, other than the inventor, who could not right to the invention are held by any person, other than the inventor, who could not right to the invention are held by any person, other than the inventor.
no rights to the invention and invention of a month of the state of the invention of a month of the invention
anote: Separate verified statements are required from each person, concern, organization having rights to the invention averring to their status as small organization for P 61.27.
entities. 37 C.F.R. §1.27.
Name: NONE
Address: Nonprofit Organizati

37 C.F.R. §§1.9(d), 1.9(e)

- (d) A small business concern as used in this chapter means any business concern as defined by the Small Business Administration in 13 C.F.R. §121.3-18, published on September 30, 1982 at 47 FR 43273. For the convenience of the users of these regulations, that definition states:
- §121.3-18 Definition of small business for paying reduced patent fees under Title 35, U.S. Code.
- (a) Pursuant to Pub. L. 97-247, a small business concern for purposes of paying reduced fees under 35 U.S. Code 41(a) and (b) to the Patent and Trademark Office means any business concern (1) whose number of employees, including those of its affiliates, does not exceed 500 persons and (2) which has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, conveyed, or license, any rights in the invention to any person who could not be grant, convey or license, any rights in the invention to any person who could not be grant, convey or license, any rights in the invention to any person who could not be grant, convey or license, any rights in the invention of any end the invention, or to any classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section. For the purpose of this section concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both. The number of employees of the business concern is the average over the fiscal year of the the persons employed during each of the pay periods of the fiscal year. Employees are those persons employed on a full-time, part-time or temporary basis during the previous fiscal year of the concern.
- (b) If the Patent and Trademark Office determines that a concern is not eligible as a small business concern within this section, the concern shall have a right to appeal that determination to the Small Business Administration. The Patent and Trademark Office shall transmit its written decision and the pertinent size determination file to the SBA in the event of such adverse determination and size appeal. Such appeals to the SBA in the event of such adverse determination and size appeal. Such appeals by concerns should be submitted to the SBA at 1441 L Street, NW., Washington, D.C. 20416 (Attention: SBA Office of General Counsel). The appeal should state the basis upon which it is claimed that the Patent and Trademark Office initial size determination on the concern was in error; and the facts and arguments supporting the concern's claimed status as a small business concern under this section.
- (e) A nonprofit organization as used in this chapter means (1) a university or other institution of higher education located in any country; (2) an organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c)(3)) and exempt from taxation under section 501(a) of the Internal Revenue Code (26 U.S.C. 501(a)); (3) any nonprofit scientific or educational organization qualified under a nonprofit organization statute of a state of this country (35 U.S.C. 201(i); or (4) any nonprofit organization located in a foreign country which would qualify as a nonprofit organization under paragraphs (e)(2) or (3) of this section if it were located in this country.

Applicant: David J. Pinsky Serial No.: Not Yet Known Filed: August 13, 1999 Small Entity/Nonprofit

Page -2-

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. §1.28(b)*.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing:	Jack M. Granowitz	
Name of Person 316.11.6.	Executive Director	Columbia University Enterprice,
Title In Organization:		
Address: Columbia Uni	versity, Engineering Te	errace- Suite 363. Amsterdam and
120éh Chana	New York NY 10027	. 4-
	Jack m. France	- 7
Signature:		~ ~
Date Of Signature:	() 8/19/19	
Date of D-8		

*See Reverse

10/049320

JC13 Rec'd PCT/PTO 0 6 FEB 2002

37 C.F.R. §1.28(b)

(b) Once status as a small entity has been established in an application or patent, fees as a small entity may thereafter be paid in that application or patent without regard to a change in status until the issue fee is due or any maintenance fee is due. Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application or patent prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate pursuant to \$1.9 of this part. The notification of change in status may be signed by the applicant, any person authorized to sign on behalf of the assignee, or an attorney or agent of record or acting in a representative capacity pursuant to \$1.34(a) of this part.

į